

A.D. 3.13, Grants and Contracts

Prepared for signature 2/15/00 - effective 3/15/00

1. Policy. The Department of Correction shall: (a) actively seek and utilize grants from the Federal government, other State agencies, private corporations and foundations to support programs and activities which advance its missions and goals; and (b) coordinate grants, major contracts, and personal service agreements through a Fiscal Services Grants and Contracts Section, to ensure consistent and appropriate terms and processing.
2. Authority and Reference.
  - A. Connecticut General Statutes, Sections 3-39a, 4-8, 4-28, 4-29, 4-31, 4-31a, 4-73a, 4-168, 4-173, 7-396a, 18-81, 18-101i and 32-9e.
  - B. State of Connecticut, Office of the Comptroller, State Accounting Manual.
  - C. United States Department of Health and Human Services, Discretionary Grants Administration Manual, Grants and Contracts Management Division/OMS.
  - D. Connecticut Department of Administrative Services, Business Connections Unit, Connecticut Small Business Set Aside Directory, (issued monthly).
  - E. Connecticut Office of Policy and Management, Personal Service Agreement (PSA) Guidelines.
  - F. American Correctional Association, Standards for Adult Correctional Institutions, Third Edition, January, 1990, Standard 3-4012, 3-4038 and 3-4039.
  - G. American Correctional Association, Standards for Adult Local Detention Facilities Third Edition, March 1991, Standard 3-ALDF-1A-12, 3-ALDF-1B-11 and 3-ALDF-1B-14.
  - H. American Correctional Association, Standards for Administration of Correctional Agencies, Second Edition, April 1993, Standard 2-CO-1B-09.
  - I. Connecticut State Library, Records Retention/Disposition Schedules.
  - J. Administrative Directive 3.3, Procurement.
3. Definitions. For the purposes stated herein, the following definitions apply:
  - A. Contracts. Any written agreement, including a Personal Service Agreement, Purchase Of Services, or Memorandum Of Understanding as described below, established by the Department on it's own authority.
  - B. Fully Executed. The status of a contract when it has been approved and signed by all parties, and authorized by statute and policy.
  - C. Grant. An award of funds, typically restricted for use in meeting a specific programmatic goal.
  - D. Memorandum of Understanding (MOU). A written agreement typically used among state agencies and/or municipalities. Also referred to as a Memorandum of Agreement (MOA) or Letter of Agreement (LOA)
  - E. Personal Service Agreement (PSA). A written agreement defining the services or end product to be delivered by a personal service contractor to a state agency. PSAs may cover chaplain services,

speakers, training, expert witnesses and other services as required by the Department.

- F. Program Manager. The person responsible to administer the programmatic guidelines of a grant or contract.
- G. Purchase of Services (POS). Contractual agreements for human services provided directly to inmates by a corporate entity. Typically utilized for residential and nonresidential treatment programs.
- H. Small Business. A business certified by the Department of Administrative Services as meeting the qualifications for Set-Aside program participation as a Small Business under C.G.S. Section 32-9e.
- I. Sole Source. Vendor supplying goods or services following the authorized waiver of the competitive bidding requirement.

4. Grant Development Process. In order to identify and manage potential funding opportunities from the Federal and/or State government or other sources, the following shall take place:

- A. The Fiscal Services Grants and Contracts Section shall actively search for and solicit grant opportunities for the Department. The section shall notify unit heads of grant opportunities as they become available.
- B. Agency staff identifying a potential source of funding shall provide all necessary information to the Fiscal Services Grants and Contracts Section. The Grants and Contracts Section will review all information received regarding potential sources of funding. After completing a review and assessment of such information the Grants and Contracts Section shall provide appropriate information to all divisions, units and/or programs which may benefit from such available funding.
- C. Any interested division, unit or program shall respond in writing to the Grants and Contracts Section, utilizing a Request for Grant Application form, Attachment A. Each such response shall include a brief description of the need for such funds, how the award would meet this need, and the benefits to the Department and the State that would be derived from the award.
- D. The Grants and Contracts Section shall review all responses for grant fund announcements. A copy of each Request for Grant Application form, Attachment A, shall be provided to the Director of Fiscal Services and the appropriate Deputy Commissioner for review and approval.
- E. Those requests approved by the Deputy Commissioner shall be routed through the Grants and Contracts Section to the requestor. The requestor, with the assistance of the Grants and Contracts Section, shall prepare a final document/application for submission to the funding source. Such final document/application shall be processed through the Grants and Contracts Section. In no case shall any grant application or letter of intent be submitted to a potential grantor without such review and approval.
- F. The Grants and Contracts Section shall provide all required grant documentation to other state agencies and offices, including the Office of Policy and Management, in accordance with applicable statutes and regulations.
- G. The Commissioner or designee shall sign all applications for and acceptance of grant funds. Each notification of grant awards

shall be forwarded to the Grants and Contracts Section, which shall maintain the master file for all grant documents. The Grants and Contracts Section will forward a copy of the award to the Program Manager, and to other units and agencies as appropriate.

5. Grant Management.

- A. The Fiscal Services Unit shall establish all appropriate fiscal accounts and records, and shall maintain such accounts and records in accordance with the guidelines established by the funding source, state and federal statutes and policies.
- B. The Grants and Contracts Section shall review the requirements of each grant award with the appropriate program manager to assure full understanding of such requirements.
- C. The Program Manager shall be responsible for the programmatic oversight of each grant, including preparation of all required programmatic reports. Such reports shall be submitted through the Grants and Contracts Section.
- D. The Fiscal Services Unit shall be responsible for the fiscal oversight of all grant awards and shall prepare all required fiscal reports. Fiscal concerns shall be reviewed with the Program Manager, and reports shall be submitted through the Grants and Contracts Section.
- E. All purchasing associated with any grant award shall be approved and processed through the Fiscal Services Unit.

All requests for positions or changes in positions funded through any grant award shall be reviewed by the Fiscal Services Unit and processed through the Human Resources Unit.

- F. The Grants and Contracts Section shall submit all fiscal and programmatic reports as required by the grant agreement, including all closeout reports.
- G. A full copy of the Grant, all reports, and related correspondence shall be maintained in the Grants and Contracts office. All changes or adjustments in grant terms, goals, or performance shall be documented, and a copy retained by the Grants and Contracts Section.

6. Grant Listing. The Director of Fiscal Services shall maintain a listing of all active grants of the Department. The list shall contain, at a minimum, the following information: source of funding; total amount of grant award funding; number of positions included in the grant; awarding agency's grant number; Unit Administrator and Program Manager responsible for managing grant; amount expended to date; termination date for the grant; and any other specialized information deemed necessary by the Director of Fiscal Services.

7. Personal Service Agreements, Purchase of Service Agreements, Memorandums of Understanding and Development Process.

- A. Requests for services to be acquired through either a Personal Service Agreement (PSA), Purchase of Service Agreement (POS), or Memorandum of Understanding (MOU) shall be initiated using a Request for Contractual Services form, Attachment B. Such requests must be originated at the Unit Administrator level or

higher, and be approved at the Unit and Division levels. In addition, each such request must be approved by Fiscal Services, whose approval shall signify the availability of funds.

- B. Selection of a proposed vendor shall be made in accordance with applicable statutes and policies. Small and Minority Business Enterprises shall be utilized in accordance with departmental goals in accordance with Administrative Directive 3.3, Procurements. If the requestor seeks an agreement with a specific contractor, the Request for Contractual Services form, Attachment B, must so indicate, with full information on the proposed contractor.
- C. Upon approval by all required levels, the Request for Contractual Services, Attachment B, shall be forwarded to the Grants and Contracts Section for preparation of the contractual agreement. The Grants and Contracts Section shall determine whether the proposed agreement shall be established as a PSA, POS, or MOU, in accordance with relevant guidelines.
- D. If a proposed contractor has not been identified, the Grants and Contracts Section shall work with the requestor to identify qualified contractors and issue a Request for Proposals (RFP), as needed.
- E. Once a contractor has been identified, the Grants and Contracts Section shall secure approvals for the contract from the Office of Policy and Management, Department of Administrative Services and/or Office of the Governor, as required.
- F. The Grants and Contracts Section shall forward the full agreement package to the proposed vendor for signature and completion of documents.
- G. Upon receiving the necessary approvals and a fully completed contract package from the proposed vendor, the Grants and Contracts Section shall forward the complete package through the Director of Fiscal Services and the appropriate Deputy Commissioner, for signature by the Commissioner or designee.
- H. The Grants and Contracts Section shall send the contract package, once signed by the Department, to the Office of the Attorney General for approval, as required by statute or policy.
- I. No contract or agreement shall be valid until the preceding steps have been completed and required approvals have been received. All contracts that are fully executed shall be distributed by the Grants and Contracts Section.
- J. The Grants and Contracts Section shall maintain the master file on all Personal Service Agreements, Purchase of Service Agreements and Memorandums of Understanding, excepting specific records of payment which shall be maintained by the Fiscal Services Accounts Payable Section.
- K. The Grants and Contracts Section shall be available to advise all Department staff throughout the contract process.

8. Exceptions. Any exception to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.

**ATTACHMENT A**

**REQUEST FOR GRANT APPLICATION**

Date: \_\_\_\_\_

Request submitted by: \_\_\_\_\_ Title: \_\_\_\_\_ Tel: \_\_\_\_\_

Division/Section: \_\_\_\_\_ Deputy Commissioner: \_\_\_\_\_

This request is in response to : \_\_\_\_\_  
(please attach a copy)

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Provide brief but complete information. You may attach additional pages, if necessary.

1. Identify the need for the proposed grant program. How was that need established?

2. Describe the grant program you are proposing.

3. How will this program, if funded, satisfy the need identified above?

4. What is the estimated cost of the proposed program?

Salaries (including benefits):

No. New Positions:

Non-Salary:

5. Describe the benefits to the Department and the State.

Additional Comments/Remarks:

